

BEST AVAILABLE COPY

JUL 06 2005 16:15 FR PROSKAUER ROSE LLP 2

TO *5595*74622010*7 P.01

PROSKAUER ROSE LLP

RECEIVED
CENTRAL FAX CENTER

JUL 06 2005

1585 Broadway
New York, NY 10036-8299
Telephone 212.969.3000
Fax 212.969.2900

LOS ANGELES
WASHINGTON
BOSTON
BOCA RATON
NEWARK
NEW ORLEANS
PARIS

Date July 6, 2005 Client-Matter 74622-010

Fax Transmittal

Total Pages (Including Cover) 13

From John C. Stellabotte

Sender's Voice Number 212.969.3413

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: Andrew J. Rudy

Fax No.: 703 873 0306

Transmit: United States Patent and Trademark Office, P.O. Box 1418, Alexandria, VA 22304-1418

Re: Inventor : Stuart Lee Breslow et al.
Serial No. : 09/476,448
Filing Date : December 30, 1999
Title : ON LINE TRADING SYSTEM
Att'y Docket : 74622-010

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification

Juan C. Arias July 6, 2005
Signature Date

Confidentiality Note. This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

THIS PAGE BLANK (USPTO)

05/20/2005 15:42 FAX 201 272 7

UBS LEGAL

002

PTO/BB/08 (08-04)

Approved for use through 07/31/2008. OMB 0501-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Stuart L. Breslow, et al.Application No./Patent No.: 09/476,448 Filed/Issue Date: December 30, 1999Entitled: **ON-LINE TRADING SYSTEM**

UBS Financial Services, Inc., a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
 2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Stuart Lee Breslow et al. To: Painewebber Incorporated
 The document was recorded in the United States Patent and Trademark Office at
 Reel 010488, Frame 0498, or for which a copy thereof is attached.
2. From: Painewebber Incorporated To: UBS Painewebber Inc.
 The document was recorded in the United States Patent and Trademark Office at
 Reel 012267, Frame 0728, or for which a copy thereof is attached.
3. From: UBS Painewebber, Inc. To: UBS Financial Services, Inc.
 The document was recorded in the United States Patent and Trademark Office at
 Reel 014487, Frame 0783, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg I. Goldman
 Signature
Gregg I. Goldman
 Printed or Typed Name
 Director and Senior Counsel, Technology and
 Intellectual Property, UBS AG, Stamford Branch
 Title

5/20/05
 Date
203 718 3099
 Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-0190 and select option 2.